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ABSTRACT

Recommendations for the choice of corporate authorship and the form of corporate name are proposed as bases for international agreement in this area of cataloging. These recommendations are based on three assumptions: (1) that main entries are necessary and important; (2) that choice between conflicting alternatives should be to select that alternative which would lead to cataloging consistency between agencies; and (3) that a compromise interpretation should be based on a sound theoretical foundation. However, the first assumption is less valid given the development of online systems which make maintenance of several types of indexes and entries possible. The second would sacrifice user convenience, therefore economy of method would be determined by weighing consistency against convenience. The third assumption is the most promising as inconsistencies are identified and analyzed. Proposed guidelines for corporate authorship would shift large numbers of entries for corporate bodies to entries under the title proper, emphasizing the use of alphabetical finding lists and helping the user find known publications. Innovations recommended for the form of corporate names would affect the style and the sequence of elements in the heading. These changes are intended to increase consistency in choice of headings at the international level and standardize punctuation. The recommendations proposed by Verona are clear and could simplify the life of both user and cataloger; however, to determine effectiveness, the theory should be tested before implementation. (CWM)

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Review of

"CORPORATE HEADINGS" BY EVA VERONA

by

D. Kathryn Weintraub

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

D. Kathryn Weintraub

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

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This review was written while preparing a set of course lecture notes and is distributed now because I thought it might interest a somewhat larger audience. It is not intended for publication.

D. Kathryn Weintraub
February, 1977

Verona, Eva. Corporate headings : their use in library catalogues and national bibliographies : a comparative and critical study / by Eva Verona. -- London : International Federation of Library Associations, Committee on Cataloging, 1975.

In her annotated text of the Statement of Principles adopted at the International Conference on Cataloging Principles, Paris, 1961 (hereafter referred to as ICCP or Paris Principles) Eva Verona said:

> "The above analysis of section 9 and its subsections and the examples relating to its varying interpretations reveal very clearly the disappointing fact that in the field of corporate entries we are still very far from international uniformity. No single problem relating to corporate entries has been solved by all the past-Paris codes in the same or at least in similar ways. Further examination and study will be necessary in order to find the basis for an international agreement in this field." (p. 73)

In this publication, Eva Verona studies the problem of corporate entry for catalog records in greater depth and proposes some possible bases for international agreement.

A close reading of this text shows that her study is based upon three separate assumptions—and at least two of these are questionable.

The first assumption is that main entries are still necessary and important because there are many single record files and because the use of multiple entries would increase greatly the size of manual catalogs whether in the form of cards or books. This has certainly been a valid assumption for the last one hundred years but it may be questioned whether it will still be valid for the next one hundred years. If national networks maintain their central files in on-line machine

readable form, it would certainly be possible to maintain several different types of indexes to these files. Such indexes would provide the same types of access as are now provided by a combination of main and added entries. However, these indexes can be organized separately from the file of records and it would not be appropriate to separate one index entry from the set of index entries for a record and call it the main entry. The set of index entries leading to any given record could include, for example, the names of several principal authors, the names of principal authors fulfilling secondary functions (e.g. the names of several commentators for a publication that is regarded as primarily an edition of the text rather than the commentary), the names of persons most closely associated with a work (e.g. the name of a person to whom a collection of letters is addressed), the title of the work, etc. Such indexes would certainly make the on-line files far more usable and I doubt that these elements are the ones that would affect greatly the cost of the system.

Her second assumption is that the criterion for choice between conflicting alternatives should be to choose that alternative which would lead most surely to consistency in the form of catalog records prepared by different cataloging agencies. The phrases '... for international agreement' and '... the international user' recur repeatedly throughout the text, e.g.:

> "For international agreement it would be preferable to follow the same treatment for all types of districts. For the international user, the most convenient procedure would be to treat all administrative districts of towns or cities as subordinate corporate bodies. ..." (p. 70)

Presumably, although she does not say so, such consistency would be valuable because the records prepared by one agency could be used by

the other agencies without alteration. Undoubtedly cataloging costs could be greatly reduced if each publication were cataloged only once. However, in the course of the argument it becomes clear, again and again, that such consistency can only be achieved if we sacrifice the convenience of the user. For example,

> "D. Dean Willard approved of entry under the name of the territorial authority concerned or under the name of the country which adopted a law promulgated by another sovereign power and explained his attitude by the fact that no user would look for such a law under the name of the territorial authority where such a law actually originated ... In practical terms that cannot be disputed, but as a whole, Willard's argument has no sound theoretical basis." (p. 38)

If our purpose is to reduce costs, I think we need to ask whether such sacrifices of user convenience are truly economical. If we know the users will not look under the headings that are used what will be the cost of finding these materials where they are needed? Perhaps an even more important question is, what will be the cost of not finding them when they are needed? Unfortunately today's librarians are not in a position of strength when they argue for user convenience. We know very little about the user. And yet, if we are to make extensive changes in our practices, it does seem reasonable to ask for some assurance that the changes are improvements. Furthermore, it may even be necessary to know that they will not cost more than our present practices.

Ms. Verona's third assumption is the most reassuring.

> "...a compromise interpretation must be based on a sound theoretical foundation..." (p. 10)

In this study, Ms. Verona looks at a number of post-ICCP catalog codes and at a number of entries prepared according to these codes, in order to identify the types of inconsistency that occur, and the reasons for these inconsistencies. Finally, she recommends a number of guidelines

that should lead to greater consistency in the choice and form of corporate headings. Because of her third assumption and because of her fine analytical mind, we are assured of a consistent set of guidelines. There is always the possibility that consistency will prove most convenient. At the very least the reader will gain useful insights from this study.

Accordingly, it is interesting to look at her recommendations in order to see how they differ from our present practices and in order to identify the reasons for these variations. Her recommendations are of two types. There are recommendations for the interpretation (or choice) of corporate authorship and there are recommendations concerning the form of corporate names.

In principle, the main entry for a work should name the author when known or the name of the work (i.e. the title) when the author is unknown. In accord with the Paris Principles, it is assumed that an author can be a person or a corporate body. In accord with the Anglo-American cataloging rules, publications involving corporate authorship are assumed to be works of mixed authorship and thus, the first question for any work that might involve corporate authorship is whether the work is principally a work of personal authorship or corporate authorship. If it is a work of personal authorship, the main entry, of course, will be either the name of the author or the title of the work.

The proposed definition for corporate authorship is:

> "A work should be considered to be of corporate authorship if it may be concluded by its character or nature that it is necessarily the result of the creative and/or organizational activity of a corporate body as a whole, and not the result of an independent creative, activity of the individual(s) who drafted it." (p. 13)

This definition is explicated by looking at a number of different categories of publications which have been or might be considered works of corporate authorship. Two types of publication are suggested that might represent the creative activity of a corporate body as a whole. They are the proceedings of a conference and the report of an expedition. However, in most instances corporate authorship is regarded as an organizational activity of a corporate body as a whole. Thus, administrative reports (including serials), budgets (including government budgets), financial reports, rules and regulations of a corporate body, catalogs of a corporate bodies holdings, lists of publications of a corporate body, lists of members of a corporate body are (or at least may be) regarded as the result of the organizational activity of a corporate body as a whole. There is one other category of publications that is included in the list of works by corporate bodies--but with hesitation. The category consists of constitutions and charters. These publications are to be entered under the conventional name of the territorial authority; a conventional title might also be added but it is not recommended. The use of a corporate heading is endorsed because, since there are many instances where a proposed constitution was discussed by the citizenship at large, it is more convenient to enter all constitutions and charters under the name of the corporate body than to distinguish between those that were and those that were not. However, the constitutions must be entered under the conventional name of the territorial authority which promulgated the constitution rather than (as is done in the AACR, for example) under the name of the territorial authority governed by the constitution or charter. Thus the constitution of Australia would be entered under Great Britain. Since this would prove inconvenient for

many users, the author suggests that added entries under subject (e.g. Australia) might be useful.

All other categories of publications which are considered in this study are to be entered under personal author or title proper. Speeches, addresses, proclamations, messages, pastoral letters, papal encyclicals and bulls are all to be regarded as works of personal authorship rather than entered under the name of an office.

The remaining types of publication are all to be entered under title. These categories include all serials issued by or under the authority of a corporate body (except administrative reports); degrees, executive orders, laws promulgated in the name of a chief of state or other dignitary, laws, treaties, and liturgical works. In general, the reason for preferring a title entry is that there is no easy way to determine authorship for these works. Thus, for example,

> "A cataloguer handling such complicated material according to the decision of the Library of Congress needs to be well acquainted with the legislative and administrative history of the country concerned in order to determine the correct territorial authority under which to enter such a law—insofar as it is possible to find a 'correct' heading. Such knowledge cannot be expected of the average cataloguer, even with regard to his own country. And what about the catalogue user? It should be stressed once more that such historical questions are irrelevant from the bibliographic point of view and, accordingly, should not affect procedures applied to the alphabetical catalogue.
>
> ...
>
> "Clearly, entry under title proper would be the only way to solve these complexities. When necessary and feasible, entries under the names of the territorial authority governed by a law and of the territorial authority by which it was promulgated might be made." (pp. 39/40)

and again

> "... Baader considers that for a liturgical book whose origin cannot be clearly identified with one particular

> church or the use of which has spread over the boundaries of its original church, that church has today rather the function of an editor than of an originator or creator of the text of such a book, and for such books he recommends title entry. He also points to other liturgical books which are more closely related to a particular church: ... to make a clear distinction between these two categories of liturgical books, he believes, would demand complicated and time consuming theological and historical investigations, which could hardly be expected from the average cataloguer, and still less from the catalogue user who, as Eisenhart points out, would normally look for liturgical books under their title proper rather than under the name of the respective religious community.
>
> ...
>
> "The compelling arguments put forward by Baader against corporate entry or entry under a form reading for liturgical works make it almost unnecessary to point out that liturgical works do not come within the scope of our proposed definition of corporate authorship. For an international agreement title entry would clearly be the most convenient solution..." (p. 43)

Clearly, one characteristic of these recommendations is to shift a large number of entries from headings for corporate bodies or headings that represent a combination of corporate bodies and form subheadings to entries under title proper. Such a shift would emphasize the use of an alphabetical catalog as a finding list. It would help the user who seeks a known publication; it would not help the user who (for example) looks for a treaty between four countries but does not know for sure that it exists.

The recommendations for the form of corporate names involve several innovations -- and some of them differ greatly from present practices. These recommendations can be divided into two groups: those that affect the style of a heading and those that affect the sequence of elements in a heading.

Those characteristics which affect the style of a heading include the language, the punctuation, and the transcription or transliteration.

Predictably, since these recommendations are intended to increase consistency in the choice of headings at the international level, it is recommended that names be written in the language of the corporate body or, in the case of conventional title, in the language of the original publication. Incidentally, since this would lead to considerable variation in such conventional titles as 'constitutions' or 'budgets', she suggests that conventional titles not be used for such publications.

It is further recommended that punctuation be standardized so that, for example, subordinate bodies and identifying characteristics are introduced by the same punctuation from one catalog code to the next and that IFLA and ISO continue to work on international standards for transcription and transliteration.

The sequence of elements in a heading for a corporate body consist, in all cases, of the name of the corporate body and, when needed, of terms naming such identifying characteristics as place. The major innovations are to be found in the sequence of elements within a name for subordinate bodies and in the sequence of identifying elements for a conference.

When discussing subordinate bodies it is convenient to distinguish between governmental and non-governmental corporate bodies. In the case of non-governmental bodies, all subordinate bodies should be entered directly without showing hierarchy unless the name of the subordinate body consists solely of a generic word or a name that is so general that it might be the subordinate body of any corporate entity. Thus, all non-governmental bodies should normally be entered directly under their name. The preferred form is the form that appears most frequently in its publications rather its conventional name. In general there

should be no modification in the name, e.g.,

A. K. Smiley Public Library

not Smiley (A.K.) Public Library

but in some cases it may be convenient to delete the place name from the end of a corporate name and list it as an identifying characteristic instead, e.g.

City Club, Chicago

rather than City Club of Chicago

The Paris Principles recognized the possibility of two different forms of heading for the publications of a government (or territorial authority as these agencies are termed in this study). Those corporate bodies which fulfilled administrative, judicial, or legislative functions were to be entered as subheadings under the name of the government and the remaining corporate bodies were to be treated as non-governmental bodies. In this study of the catalog codes Ms. Verona finds that there is little or no consistency in the identification of the functions of these various corporate bodies. Accordingly, she recommends that they all be treated as non-governmental corporate bodies and entered directly under their name. With the name of the appropriate territorial body added as an identifying characteristic when needed, e.g.

Geological Survey, United States

rather than United States. Geological Survey.

> "... It must be recognized that the method of direct headings for organs of territorial authorities is very simple and clear; that its application would eliminate the differences between the various national codes, bibliographies and information services, as well as the many difficulties created by indirect headings; and that it might be used in all countries, regardless of their administrative organization and of the language and official terminology used. Basically, organs of territorial authorities and their publications do not differ from

other subordinate corporate bodies and their publications and their treatment should be similar ... " (p. 117)

Those publications which are issued by the government as a whole (e.g. a constitution) would, however, be entered under the name of the government. The preferred form of name for a government would be the conventional name of the territory governed in the language of the government, e.g.

Deutschland, D.D.R.

not Germany (Democratic Republic)

A conference should be treated as an independent corporate body and entered under its name if it has a name of its own; if it does not have a name of its own (i.e. if its name is not distinctive) it should be entered under the name of the corporate body that organized it; and if it does not have a name, it should be entered under its title. The identifying characteristics added to the name should be in the sequence of number, year and then place. In this way, unnumbered conferences would file sequentially.

As can be seen from this summary, the character of the alphabetical catalog is conceived primarily as that of a finding list for publications that the user knows exist. It is assumed that the author is the most appropriate heading for this purpose but that title can be used when the author is now known or even when authorship is unclear. It is probable that these assumptions are true (even though we have little evidence of user strategy for locating copies of a known publication). The solutions presented here are clear and should simplify the life of a cataloger.

However, I think it is not appropriate to introduce such radical

changes into our catalogs without looking first for evidence that catalogs designed to fulfill a finding list function are adequate for our purpose. We have lived for one-hundred years with catalogs that serve other purposes as well—e.g. our author catalogs list branches of the government under the name of the government. When these branches are not listed under government, they will be bunched in the catalog under such words as 'Bureau', 'Department', 'Office' etc. Will such a grouping help to reduce the catalog user's search time. We don't really know. In other fields of study it is normal practice first to develop a theory, then test it, and then if the tests prove satisfactory implement it. Similarly, I think it would be cheaper in the long run to test the theory on a sample rather than to proceed directly to a test of the theory as applied to the entire universe of all catalog records.